



RCE/1600 #14

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**Request  
For  
Continued Examination (RCE)  
Transmittal**

Address to:  
Commissioner for Patents  
Box RCE  
Washington, DC 20231

Application Number	09/816,790
Filing Date	March 22, 2001
First Named Inventor	Keith D. Allen, et al.
Art Unit	1636
Examiner Name	Celine X. Qian
Attorney Docket Number	R-855

**This is a Request for Continued Examination (RCE) under 37 CFR 1.114 of the above identified application.**  
Request for Continued Examination (RCE) practice under 37 CFR 1.114 does not apply to any utility or plant application filed prior to June 8, 1995, or to any design application. See Instruction Sheet for RCEs (not to be submitted to the USPTO) on page 2.

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**1. Submission required under 37 CFR 1.114**

- a. ☐ Previously submitted
- i. ☐ Consider the amendment(s)/reply under 37 CFR 1.116 previously filed on \_\_\_\_\_  
(Any unentered amendment(s) referred to above will be entered).
- ii. ☐ Consider the arguments in the Appeal Brief or Rely Brief previously filed on \_\_\_\_\_
- iii. ☐ Other \_\_\_\_\_
- b. ☒ Enclosed
- i. ☒ Amendment/Reply
- ii. ☐ Affidavit(s)/ Declaration(s)
- iii. ☐ Information Disclosure Statement (IDS)
- iv. ☐ Other \_\_\_\_\_

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**2. Miscellaneous**

- a. ☐ Suspension of action on the above-identified application is requested under 37 CFR 1.103(c) for a period of \_\_\_\_\_ months. (Period of suspension shall not exceed 3 months; Fee under 37 CFR 1.17(i) required)
- b. ☐ Other \_\_\_\_\_

**3. Fees**

- The RCE fee under 37 CFR 1.17(e) is required by 37 CFR 1.114 when the RCE is filed.
- The Director is hereby authorized to charge the following fees, or credit any overpayments, to
- a. ☒ Deposit Account No. 50-1271
- i. ☒ RCE fee required under 37 CFR 1.17(e)
- ii. ☒ Extension of time fee (37 CFR 1.136 and 1.17)
- iii. ☐ Other \_\_\_\_\_
- b. ☐ Check in the amount of \$ \_\_\_\_\_ enclosed
- c. ☐ Payment by credit card (Form PTO-2038 enclosed)

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED**

Name (Print/Type)	Kelly L. Quast	Registration No. (Attorney/Agent)	52,141
Signature	<i>Kelly L. Quast</i>	Date	February 24, 2003

**CERTIFICATE OF MAILING OR TRANSMISSION**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner For Patents, Box RCE, Washington, DC 20231, or facsimile transmitted to the U.S. Patent and Trademark Office on the date shown below.

Name (Print/Type)	Don Dixon	Date	02/24/03
Signature	<i>Don Dixon</i>		

Page 1 of 2

This collection of information is required by 37 CFR 1.114. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, Box RCE, Washington, DC 20231.**

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

03/05/2003 MAHME1 00000135 501271 09816790

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375.00 CH



# FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 430.00

## Complete if Known

Application Number 09/816,790  
Filing Date March 22, 2003  
First Named Inventor Keith D. Allen, et al.  
Examiner Name Celine X. Qian  
Art Unit 1636  
Attorney Docket No. R-855

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## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number  
Deposit Account Name

50-1271

Deltagen, Inc.

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☐ Credit any overpayments  
☐ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)		
1001 750	2001 375	Utility filing fee	
1002 330	2002 165	Design filing fee	
1003 520	2003 260	Plant filing fee	
1004 750	2004 375	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	

SUBTOTAL (1) (\$)

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** =	X	
Multiple Dependent	-3** =	X	

Large Entity	Small Entity	Fee Description
Fee Code (\$)	Fee Code (\$)	
1202 18	2202 9	Claims in excess of 20
1201 84	2201 42	Independent claims in excess of 3
1203 280	2203 140	Multiple dependent claim, if not paid
1204 84	2204 42	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)		
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for ex parte reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	55.00
1252 410	2252 205	Extension for reply within second month	
1253 930	2253 465	Extension for reply within third month	
1254 1,450	2254 725	Extension for reply within fourth month	
1255 1,970	2255 985	Extension for reply within fifth month	
1401 320	2401 160	Notice of Appeal	
1402 320	2402 160	Filing a brief in support of an appeal	
1403 280	2403 140	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,300	2453 650	Petition to revive - unintentional	
1501 1,300	2501 650	Utility issue fee (or reissue)	
1502 470	2502 235	Design issue fee	
1503 630	2503 315	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 750	2809 375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 750	2810 375	For each additional invention to be examined (37 CFR 1.129(b))	
1801 750	2801 375	Request for Continued Examination (RCE)	375.00
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 430.00

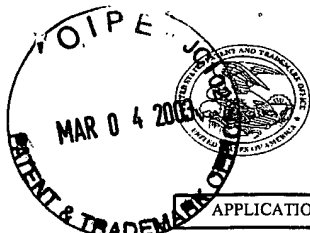
## SUBMITTED BY

Name (Print/Type) Kelly L. Quast  
Registration No. 52,141  
Telephone 650-569-5166  
Signature Kelly L. Quast  
Date 02/24/03

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
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Washington, D.C. 20231  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/816,790	03/22/2001	Keith D. Allen	R-855	5557

26619 7590 10/23/2002

DELTAGEN, INC.  
740 BAY ROAD  
REDWOOD CITY, CA 94063

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EXAMINER

QIAN, CELINE X

ART UNIT PAPER NUMBER

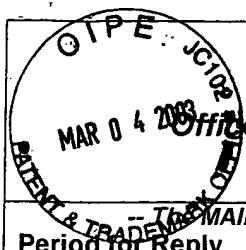
1636

DATE MAILED: 10/23/2002

13

Please find below and/or attached an Office communication concerning this application or proceeding.

RESPONSE DUE 23-JAN-03  
RECEIVED  
OCT 31 2002  
BY: [Signature]



# Office Action Summary

Application No.	Applicant(s)	
09/816,790	ALLEN ET AL.	
Examiner	Art Unit	
Celine X Qian	1636	

THE MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE \_\_\_\_ MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☒ Responsive to communication(s) filed on 19 July 2002.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 11-16 and 22-39 is/are pending in the application.
- 4a) Of the above claim(s) 11-16 and 22-25 is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 26-39 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_ are subject to restriction and/or election requirement.

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## Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.  
If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

## Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
a) ☐ All b) ☐ Some \* c) ☐ None of:  
1. ☐ Certified copies of the priority documents have been received.  
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_.  
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).  
\* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).  
a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

## Attachment(s)

- 1) ☐ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) \_\_\_\_
- 4) ☐ Interview Summary (PTO-413) Paper No(s) \_\_\_\_
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other:

### **DETAILED ACTION**

Claims 11-16 and 22-39 are pending in the application.

This Office Action is in response to the Amendment filed on 7/19/02.

Claims 11-16 and 22-25 are withdrawn from consideration for being directed to non-elected subject matter.

#### ***Response to Amendment***

The rejection of claims 8 and 17-21 under 35 U.S.C. 112, first paragraph has been withdrawn in light of Applicants' cancellation of the claims.

The rejection of claims 1-4, 9, 10 and 17-21 under 35 U.S.C. 112, second paragraph has been withdrawn in light of Applicants' cancellation of the claims.

The rejection of claims 1-8 and 10 under 35 U.S.C. 103 (a) has been withdrawn in light of Applicants' cancellation of the claims.

The newly added claims 31-39 are rejected under 35 U.S.C. 112, first paragraph as discussed below.

The newly added claims 26-30 are rejected under 35 U.S.C. 103 (a) as discussed below.

#### ***New Grounds of Rejection Necessitated by Applicants' Amendment***

##### ***Claim Rejections - 35 USC § 112***

Claims 31-39 are rejected under 35 U.S.C. 112, first paragraph, because the specification, while being enabling for a homozygous sulfotransferase knockout mouse lacks production of functional sulfotransferase protein, a method of making said mouse by introducing the knockout construct into embryonic stem (ES) cells, selecting ES cells comprising sulfotransferase

knockout construct, introducing said ES cells into blastocyst, and subsequently produce a transgenic knockout mouse, does not reasonably provide enablement for a transgenic mouse comprising any type of sulfotransferase protein, and a method of making said knockout mouse by introducing the knockout construct into any type of cell, or introducing ES cells directly into the pseudopregnant mouse. The specification does not enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the invention commensurate in scope with these claims.

The nature of the invention is a transgenic mouse comprising a disruption in a sulfotransferase gene and exhibits phenotype comprising aggressive, hyperactive, increased activity and decreased anxiety behavior; and a method of making said transgenic mouse. The specification discloses a method for generating said mouse by homologous recombination using a sulfotransferase construct (see page 55-60, examples 1-4). The specification further discloses that the homozygous knockout mice exhibit the phenotype comprising hyperactive and aggressive behavior (see page 60, lines 12-27).

When considering the predictability of this invention, one has to remember that many of the phenotypes examined in transgenic knockout models are influenced by the genetic background in which they are studied and the effect of allelic variation and the interaction between the allelic variants (pg.1425, col.1 1<sup>st</sup> paragraph, Sigmund, C.D. 2000. Arterioscler Thromb Vasc Biol.20:1425-1429). The specification discloses the phenotype of a homozygous sulfotransferase knockout mouse as exhibiting a behavioral abnormality. And the phenotype of said mouse is essential for the use of said transgenic knockout mouse.

The specification discloses that the word "disruption" comprises alter or replace a promoter, enhancer, or splice site of a target gene, and can alter the normal gene product by inhibiting its production partially or completely or by enhancing the normal product's activity (see page 9, lines 19-26). However, it is not known in the prior art that such "disruption," would produce the phenotype as disclosed by the specification. The specification only discloses a mouse with two alleles of sulfotransferase disrupted by inserting a selection marker that exhibits the phenotype comprising aggressive, hyperactive behavior. Thus, the phenotype of a transgenic mouse comprising any "disruption," as defined by the specification, in a sulfotransferase is unpredictable. Thus, the specification, in the instant case, is not enabling for transgenic knockout animals that exhibit no phenotype or that exhibit transgene-dependent phenotypes other than that disclosed in the instant specification. One skilled in the art would have to engage in undue amount of experimentation to make and use the invention commensurate in scope with these claims.

The specification teaches a method of making the sulfotransferase knockout mouse by introducing the knockout construct into embryonic stem (ES) cells, selecting ES cells comprising sulfotransferase knockout construct, introducing said ES cells into blastocyst, introducing the blastocyst into a pseudopregnant mouse, and subsequently generates a transgenic knockout mouse. However, the specification does not support a method of making said mouse by introducing the knockout construct into any type of cells (claim 36). In addition, the specification does not support such method as to introducing ES cells directly into a pseudopregnant mouse (claim 31). The prior art does not teach such methods either. Therefore,

Art Unit: 1636

one skilled in the art would have to engage in undue amount of experimentation to make and use the invention commensurate in scope with these claims.

This rejection may be overcome by amending the claims to recite only the transgenic knockout mouse that lacks production of functional sulfotransferase and exhibits the disclosed phenotype, recite ES cells in claim 36, and provide additional method steps in claim 31.

***Claim Rejections - 35 USC § 103***

Claims 26-30 are rejected under 35 U.S.C. 103(a) as being unpatentable over Mansour et al (1988, Nature, vol. 336, No. 24, 348-352), in view of Kong et al. (1993, Biochimica et Biophysica Acta, vol. 1171, 315-318).

The claims are drawn to a sulfotransferase gene-targeting construct and a method of making said construct. The recitation of "wherein the targeting construct...exhibits a behavior abnormality" defines the intended use of the targeting construct, which does not carry patentable weight.

Mansour et al. teach a strategy for targeted disruption of the hprt and proto-oncogene int-2 in mice embryonic stem cells and subsequent generation of knockout mice. Their teaching addresses the previous technical difficulty of obtaining embryonic stem cell carrying non-selectable, targeted gene mutation at loci of interest, and therefore provides a model which can be used to produce homozygous mutation of any gene, regardless of its function, if a cloned fragment of the gene is available (see page 348, second paragraph, line 1-3, third paragraph, line 1-5, and page 352, fourth paragraph, line 1-3). Mansour et al. further teach the generation of two targeting constructs, pRV9.1/TK and pINT-2-N/TK, each contains two sequences from hprt and



int-2 respectively, and a neo selection marker in between the two sequences (see page 350, figure 3).

However, Mansour et al. do not teach how to make a sulfotransferase gene target construct and knockout mouse.

Kong et al. teach the cloning of a mouse sulfotransferase gene, mST, from mouse liver. They provide the cloned coding sequence for sulfotransferase gene (see page 316, figure 1). Kong et al. also teach that the sulfotransferase has been implicated in the activation of mutagens and carcinogens (see page 318, 1<sup>st</sup> col., 2<sup>nd</sup> paragraph, lines 1-6).

It would have been obvious to one of ordinary skill in the art at the time the invention was made to make a sulfotransferase knockout mouse to study the sulfontransferase function because its implication in activation of mutagens and carcinogens.

The ordinary artisan would have been motivated to knockout the function of sulfotransferase gene in a mouse to study the role this gene plays in the activation of mutagens and carcinogens in mouse (see page 318, 1<sup>st</sup> col., 2<sup>nd</sup> paragraph, lines 1-6).

The ordinary artisan would have had reasonable expectation of success because of the teachings of Mansour et al., who teach a general method of targeted gene disruption in mice based on homologous recombination using a cloned fragment of a desired gene, and Kong et al., who teach the coding sequence of the mouse sulfotransferase gene, and also teach the importance of this gene in activation of mutagens and carcinogens. Therefore, the invention would have been prima facie obvious to one of ordinary skill in the art at the time the invention was made.

***Conclusion***

Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a).

Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

This application contains claims 11-16 and 22-25 drawn to an invention nonelected with traverse in Paper No. 9. A complete reply to the final rejection must include cancelation of nonelected claims or other appropriate action (37 CFR 1.144) See MPEP § 821.01.

A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not mailed until after the end of the **THREE-MONTH** shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than **SIX MONTHS** from the date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Celine X Qian whose telephone number is 703-306-0283. The examiner can normally be reached on 9:00-5:30 M-F.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Dr. Remy Yucel can be reached on 703-305-1998. The fax phone numbers for the

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Page 8

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organization where this application or proceeding is assigned are 703-305-3014 for regular communications and 703-305-3014 for After Final communications.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is 703-308-0196.

Celine Qian, Ph.D.  
October 21, 2002

  
TERRY MCKELVEY  
PRIMARY EXAMINER